PTO/SB/08a (08-03) Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known **Application Number** 09/986,479 Filing Date 8 November 2001 First Named Inventor Matt PEARSON Art Unit 2633 **Examiner Name** 

(Use as many sheets as necessary) Attorney Docket Number 12222-US Sheet

|                       |              |   | U. S. PATENT                   | DOCUMENTS  |  |
|-----------------------|--------------|---|--------------------------------|--|--|
| Examiner<br>Initials* | itials* No.1 | Document Number                         | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant |
|                       |              | Number-Kind Code <sup>2 (# known)</sup> |                                |  | Figures Appear   |
| JMB                   |              | <sup>US-</sup> 4,430,572                | 02-07-1984                     | Eve et al.   | <u> </u>   |
|                       |              | US-                                     |                                | /  |  |
|                       |              | US-                                     |                                | 7  |  |
|                       |              | US-                                     |                                | 1 7  | RECEIVED   |
|                       |              | US-                                     |                                | 1 7  |  |
|                       |              | US-                                     |                                |  | DEC 1 1 2003   |
|                       |              | US- ·                                   |                                | 1 /  | 2 2222   |
|                       |              | US-                                     |                                | 1/   | echnology Center 2600                                      |
|                       |              | US-                                     |                                | 1/   | 1  |
|                       |              | US-                                     |                                | <del>Y</del>                                       |  |
|                       |              | US-                                     |                                | /  |  |
|                       |              | US-                                     | 1                              |  | ·  |
|                       |              | US                                      |                                |  |  |
|                       |              | US-                                     | · /                            |  |  |
|                       |              | US-                                     |                                |  |  |
|                       |              | ÚS-                                     |                                | •  |  |
|                       |              | US-                                     |                                |  |  |
|                       |              | US-                                     | /                              | 1  | 1  |

| FOREIGN PATENT DOCUMENTS |              |   |                             |  |   |    |
|--------------------------|--------------|---|-----------------------------|--|---|----|
| Examiner Initials*       | Cite<br>No.1 | Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> 'Kind Code <sup>3</sup> (if known) | Publication Date MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant-Figures Appear | T⁰ |
| JMB                      |              | WO 92/11516   | 07-09-1992                  |  |   | Т  |
| JMB                      |              | WO 01/18577 A1  | 03-15-2001                  |  | -   |    |
| omB                      |              | EP 0 703 679 A2   | 03-27-1996                  | ,  |   | 1  |
| SMB                      |              | FR 2 764 376 A1   | 12-11-1998                  |  |   |    |
|                          |              |   |                             |  |   | Π  |

| Examiner  | -       |    | <del></del> | Date       |                |
|-----------|---------|----|-------------|------------|----------------|
| Signature | A. M. T | RI |             | Considered | 09/14/2006     |
|           | 17 min  |    |             |            | 0 17 1 71 2000 |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450, DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08b (08-03) Approved for use through 06/30/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

12222-US

the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO Complete if Known Application Number 09/986,479 INFORMATION DISCLOSURE Filing Date 8 November 2001 STATEMENT BY APPLICANT First Named Inventor Matt PEARSON Art Unit 2633 (Use as many sheets as necessary) Examiner Name Attorney Docket Number Sheet 2

2

|                       |              | NON PATENT LITERATURE DOCUMENTS   |      |  |  |  |
|-----------------------|--------------|---|------|--|--|--|
| Examiner<br>Initials* | Cite<br>No.1 | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. |      |  |  |  |
| JMB                   |              | K.R. POGUNTKE, et al., "High-performance InP reflection-grating wavelength multiplexer", Electronics Letters, March 1994, Vol. 30, No. 6, pages 512-513.  |      |  |  |  |
| 5mB                   |              | M. TESHIMA, et al., "Multiwavelength simultaneous monitoring circuit employing wavelength crossover properties of arrayed-waveguide grating", Electronics Letters, August 1995, Vol. 31, No. 18, pages 1595-1597.   |      |  |  |  |
|                       |              | RECEIVE   | þ    |  |  |  |
|                       |              | DEC 1 1 2003  |      |  |  |  |
|                       |              | Technology Center   | 2500 |  |  |  |
|                       |              |   |      |  |  |  |
|                       |              |   |      |  |  |  |
|                       |              |   |      |  |  |  |
|                       |              |   |      |  |  |  |
|                       |              |   |      |  |  |  |
| Examiner<br>Signature | S            | Pate Considered 09/14/2006  |      |  |  |  |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.